



# **U.S. Department of Energy**

## **Information Technology (IT) Reporting Format and Requirements for the **BY 2011** Budget Submission**

**Pending Final Chief Financial Officer and  
OMB Circular A-11 Guidance for BY 2011**

**May 2009**

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## 1. Purpose

The Office of Management and Budget's (OMB) Circular A-11, sections 53 and 300 (Parts 2 and 7, respectively), mandates reporting requirements for Federal information technology (IT) investments and establishes the processes to be used in completing these requirements. According to section 53, entitled "Information Technology and E-Government", federal agencies are required to submit an annual IT Investment Portfolio report (the Exhibit 53 report). Section 300, entitled "Planning, Budgeting, Acquisition, and Management of Capital Assets" (Exhibit 300) describes the business case that agencies must complete in order to justify each major IT investment. Because IT activities significantly impact the Department of Energy's (DOE) ability to accomplish its mission and business functions, it is important to identify and coordinate IT activities being planned by all elements of the Department, including Program Offices, Staff Offices, Field Offices, Laboratories, and Contractors. The Exhibit 53 IT Investment Portfolio report and Exhibit 300 Business Cases as annual reporting requirements are an important part of DOE's process of IT management and oversight. In addition to government-wide requirements documented in the OMB Circular A-11, DOE has established agency-specific requirements, such as a threshold for major investments of \$5 million or more over three years (Prior Year, Current Year, Budget Year), as well as additional specific requirements that are documented on the following pages.

The instructions below reflect reporting instructions for preparing **BY 2011** portfolios. This document provides specific instructions that DOE organizations will use to meet Exhibit 53 and 300 reporting requirements. **Appendix F provides instruction for the inclusion of American Recovery and Reinvestment Act (ARRA) IT-related funding and activities, where applicable, in the Exhibit 53 and 300.**

Please direct any questions you may have related to the agency's IT investment reporting requirements or to this guidance to the DOE CPIC mailbox at [DOE.CPICmailbox@hq.doe.gov](mailto:DOE.CPICmailbox@hq.doe.gov).

## 2. IT Investment Identification

In order to start the process of Exhibit 53 reporting, all organizational IT investments must be identified. IT investments include any of the following categories:

- Projects that develop new IT systems or capabilities,
- Maintenance and operation of existing IT capabilities or infrastructure,
- Generalized IT management investments such as the development of enterprise architectures.

No IT investments should be excluded from reporting. The Department does not consider any IT investments it funds at DOE laboratory and contractor facilities to be "incidental to the contract" or otherwise exempted from these reporting requirements.

### 3. Report Component Descriptions and Instructions

After identifying all IT investments, the next step is to recognize and understand what reporting information is required. Understanding the Exhibit 53 report's components and layout is important because it will ensure all required information is gathered for each investment. A complete description of the Exhibit 53 report is provided in OMB Circular A-11, Sections 53.8-53.10. Below is a summary description of the report fields and instructions for assembling the required information for each field. Remember to provide investment amounts in thousands of dollars for all fiscal years.

**OMB Unique Project Identifier Number:** Along with the project name, each investment is identified by an OMB identifier number. All investments that have been previously reported to OMB must continue to use the same assigned identifier number from year to year unless the investment has been reclassified in some way (i.e., moved from small to major or reassigned to a new program).

The following section was extracted from OMB's Circular A-11, Section 53. It explains how the UPI number is coded for each investment. This guidance should be adhered to when assigning a UPI number to a new investment or changing the UPI for an existing investment. The following sections titled "DOE Guidance" provide specific DOE related guidance with regards to the UPI number for an investment.

#### Entry

XXX-xx-xx-xx-xxxx-xx

#### Description

The first three digits are your agency code

#### DOE Guidance:

The DOE Agency code is **019**.

xxx-XX-xx-xx-xxxx-xx

The next two digits are your bureau code

#### DOE Guidance:

Program Offices' Bureau Codes are listed in Appendix D.

xxx-xx-XX-xx-xx-xxxx-xx

These two digits indicate the six parts of the exhibit 53:

- 01 = Part 1. IT Investments by Mission Area Support
- 02 = Part 2. IT Investments for Infrastructure, Office Automation, and Telecommunications
- 03 = Part 3. IT Investments for Enterprise Architecture and Planning
- 04 = Part 4. IT Investments for Grants Management Systems
- 05 = Part 5. Grants to State and Local IT investments
- 06 = Part 6. National Security Systems investments

xxx-xx-xx-XX-xx-xxxx-xx

These two digits indicate the mission area. Assign a unique code for each mission area reported.

#### DOE Guidance:

Program Offices' Mission Areas and corresponding two digit unique codes are listed in Appendix C.

When reporting investments that are being funded by another program office, ensure that the investment is located under the appropriate mission area, i.e., the mission area that funds the investment.

xxx-xx-xx-xx-**XX**-xxxx-xx

These two digits indicate your agency's type of investment. Select one of the following two digit codes according to the type of investment you are reporting:

01 = Major IT investments

**DOE Guidance:**

**Major Investments:** Classify investments as **major** if it meets any of the following criteria:

- An estimated Total Project Cost (TPC) of \$5 million or more [i.e., cumulative D/M/E funding across all fiscal years (all past, current, and all future) of the project]; or any investment with cumulative Steady State or mixed lifecycle funding of \$5 million or more across three fiscal years; the Prior Year (PY), the Current Year (CY), and the Budget Year (BY)
- A financial system with an estimated investment cost of \$500 thousand or more in one year (See Appendix G for more information on this type of system);
- A grants management IT investment, regardless of dollar value;
- Requires special management attention because of its importance to the agency mission;
- Has high development, operating, or maintenance costs, high risk or high return;
- Plays a significant role in the administration of agency programs, finances, property, or other resources;

As discussed previously, every major investment that is identified on the Exhibit 53 must also have an approved business case justifying why it should receive funding. This justification must be documented in an Exhibit 300 "Capital Asset Plan and Business Case". Section 6.c of these instructions provides further explanation of the Exhibit 300.

02 = Non-major IT investments

**DOE Guidance:**

**Non-major investment:** Classify your investment as **non-major** if it does not qualify as a major investment according to any of the above criteria.

03 = IT migration investment portion of a larger asset and for which there is an existing business case for the overall asset. Description of the IT investment should indicate the UPI of the major asset investment of the managing partner.

04 = Partner agency funding contribution represents resources provided by partner agency for a joint effort for more than one agency. Use the 04 indicator to identify projects where the business case for the major IT investment is reported in another agency's exhibit 53. Description of the IT investment should indicate the UPI of the major asset investment of the managing partner.

xxx-xx-xx-xx-xx-**XXXX**-xx

This is a four digit identification number that identifies a specific IT investment. If a new investment is added to the Exhibit 53, locate the area of the Exhibit 53 where you are going to report the IT investment and use the next sequential number as your four digit identification number.

**DOE Guidance:**

The DOE OCIO will assign the OMB unique project identifier (UPI) number for new major investments. For new non-major investments, the organization's CIO/Senior IT Manager assigns the OMB identifier number. If

you need a UPI number for a new major investment, or if you are uncertain who to contact within your organization to receive a UPI for a new non-major investment, please contact the eCPIC help desk at (202) 586-5437.

For organizational CIO/Senior IT Managers, a more detailed explanation of OMB Unique Project Identifier coding is provided in the Electronic Capital Planning and Investment Control (eCPIC) User Guide for OMB Exhibit 53 reporting that is provided during eCPIC training.

XXX-XX-XX-XX-XX-XXXX-**XX**

These two digits identify which part of the investment you are reporting. Select one of the following two digit codes according to what you report on the title line:

00 = Total investment title line, or the first time the agency is reporting this particular investment. If this is one of the President's E-Gov initiatives or an individual agency's participation in one of the E-Gov initiatives, this two-digit code should be "24".

04 = Funding source or appropriation

07 = High Risk Project as part of a larger investment

09 = Any subtotal

**DOE Guidance:**

Consolidated Investments: Investments included in consolidated business cases should use the **04** suffix code denoting a funding source line item for the consolidated investment.

**Investment Title:** Means a definitive title explaining the investment. If the investment title has changed, include the previous name in parentheses. Follow the DOE IT investment naming convention by starting each investment title with the prefix of the sponsoring organization (current prefixes are shown in Appendix B).

**Investment Description:** For each investment (major, migration, partner contribution and non-major), provide a project description of 255 characters or less. The description should explain the investment, its components, and the functionality that it provides. This description should be understandable to someone who is not an expert of the agency. If the investment is part of a multi-agency initiative or part of another business case, please provide a description of where that business case is located in the appropriate agency budget submission (i.e. managing partner UPI). For example, if the investment represents your agency's participation in one of the Presidential initiatives, the description should state that this investment represents your agency's participation in one of the Presidential initiatives and should refer to the UPI of the managing partner's business case.

**Investment Long Description:** This field of 2500 characters may be used to expand on the short description field discussed above for each non-major investment.

It is recommended that if the investment includes the development of significant new functionality (i.e. system capabilities that enhance the ability to perform the BRM functions / sub-functions and or SRM services listed) supported by DME funding, the details of this new functionality should be included in the description. These details will help promote collaboration and reuse opportunities throughout DOE.

**Note:** Investment details described in the Investment Long Description will be for DOE internal

use only and will not be transmitted to OMB. *Because Exhibit 300 Business Cases require significant details and justification, the Investment Long Description does not apply to major investments.*

**Primary Federal Enterprise Architecture (FEA) Mapping – Line of Business or Service Type:**

These three digits identify the primary Line of Business or Service Type from the Federal Enterprise Architecture that this IT investment supports. Business Reference Model (BRM) Line of Business and Service Component Reference Model (SRM) Type codes may be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

**Primary Federal Enterprise Architecture (FEA) Mapping – Sub-function or Service Component:**

These three digits identify the primary Sub-Function or Service Component from the Federal Enterprise Architecture that this IT investment supports. BRM Sub-functions and SRM component codes may be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

**DOE Guidance:** Investments must be mapped to both the SRM and the BRM models. Enter at least one mapping for both the BRM and SRM models (total of at least two mappings) and ensure that one is identified as the Primary to be transmitted to OMB. Please make sure that *both* the BRM and the SRM information are entered. The BRM and SRM definitions may be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

Note: The FEA Consolidated Reference Model (CRM), which contains BRM, SRM, and Technical Reference Model information, is updated on an annual basis; however, the updates are not automatically reflected in individual investments in eCPIC. Therefore, project managers should review the current mappings each year to ensure the mappings are still contained in the CRM drop-down options. Investment owners should review and consider the primary business function/service component provided when determining the appropriate mappings.

Note: The primary FEA mapping acts as the principal determinant of an investment's alignment to an agency segment architecture (described under the heading "Segment Architecture" on p. 11-12 of this document), which is required of all investments.

**Secondary FEA (BRM and SRM) Mapping – Line of Business or Service Type:** These three digits identify the secondary Line of Business or Service Type from the Federal Enterprise Architecture that this IT investment supports. Regardless of whether a BRM or SRM mapping was specified as the Primary FEA mapping, please also specify as many BRM Line of Business and SRM service type mappings as are applicable to the investment. BRM Line of Business and SRM component codes may be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

**Secondary FEA (BRM and SRM) Mapping – Sub-function or Service Component:** These three digits identify the secondary Sub-Function or Service Component from the Federal Enterprise Architecture that this IT investment supports. Regardless of whether a BRM or SRM mapping was specified as the Primary FEA mapping, please also specify as many BRM Sub-function and SRM service component mappings as are applicable to the investment. BRM Sub-functions and SRM components codes may be found at <http://www.whitehouse.gov/omb/e-gov/fea/>.

**Note:** For additional information on how to enter information related to the Secondary FEA

(BRM or SRM) Mappings please review the latest Electronic Capital Planning Investment Control (eCPIC) User Guide located in the eCPIC Resource Library.

**Percentage Financial:** Estimated percentage of the total IT investment budget authority associated with financial operations.

**Note:** Exclude information about budget formulation and execution activities when determining this.

**Percentage Budget Formulation (BF):** Estimated percentage of the total IT investment budget authority associated with Budget Formulation.

**DOE Guidance:** DOE Office of CFO interprets this to mean “Corporate budget formulation.”

**Percentage Budget Execution (BE):** Estimated percentage of the total IT investment budget authority associated with Budget Execution.

**DOE Guidance:** DOE Office of CFO interprets this to mean “Corporate budget execution” related to or interfacing with STARS.

**Note:** When reporting on these percentages, the budget execution, budget formulation, and financial management percentages must not exceed 100 percent.

**Percentage Current Year (CY) and Budget Year (BY) IT Security:** Estimated percentage of the total investment for the 2010 and 2011 fiscal years associated with IT security. Federal agencies must consider the following criteria to determine security costs for a specific IT investment.

The products, procedures, and personnel (Federal employees and contractors) that are primarily dedicated to or used for provision of IT security for the specific IT investment. Do not include activities performed or funded by the agency’s Inspector General. When determining the percentage, IT securities include the costs of:

- Risk assessment;
- Security planning and policy;
- Certification and accreditation;
- Specific management, operational, and technical security controls (to include access control systems as well as telecommunications and network security);
- Authentication or cryptographic applications;
- Education, awareness, and training;
- System reviews/evaluations (including security control testing and evaluation);
- Oversight or compliance inspections;
- Development and maintenance of agency reports to OMB and corrective action plans as they pertain to the specific investment;
- Contingency planning and testing;
- Physical and environmental controls for hardware and software;
- Auditing and monitoring;



- Computer security investigations and forensics; and
- Reviews, inspections, audits and other evaluations performed on contractor facilities and operations.

Other than those costs included above, security costs may also include the products, procedures, and personnel (Federal employees and contractors) that have as an incidental or integral component, a quantifiable benefit to IT security for the specific IT investment. This includes system configuration/change management control, personnel security, physical security, operations security, privacy training, program/system evaluations whose primary purpose is other than security, systems administrator functions, and, for example, system upgrades within which new features obviate the need for other standalone security controls.

Many agencies operate networks, which provide some or all necessary security controls for the associated applications. In such cases, the agency must nevertheless account for security costs for each of the application investments. To avoid double counting agencies should appropriately allocate the costs of the network for each of the applications for which security is provided. In identifying security costs, some agencies find it helpful to ask the following simple question, “If there was no threat, vulnerability, risk, or need to provide for continuity of operations, what activities would not be necessary and what costs would be avoided?” Investments that fail to report security costs will not be funded. Therefore, if the agency encounters difficulties with the above criteria they must contact OMB prior to submission of the budget materials.

**DOE Guidance:** The Percentage IT Security must be a non-zero number for both CY 2010 and BY 2011.

**Percentage Internet Protocol version 6 (IPv6):** Estimated percentage of the total IT investment budget authority associated with the agency’s IPv6 implementation.

**Funding Amount for Homeland Security Presidential Directive-12 (HSPD-12):** Amount of this investment’s PY/2008 funding associated with the agency’s HSPD-12 implementation.

**Supports Homeland Security:** Determines if an IT investment supports the homeland security mission. Determine whether or not your investment supports the Department of Homeland Security (DHS) mission areas by using the objects and goals below. If the investment supports one of these mission areas, indicate which one(s) by listing the corresponding number(s) listed below. If the investment does not support homeland security, please leave blank:

- (1) Intelligence and warning
- (2) Border and transportation security
- (3) Defending against catastrophic threats
- (4) Protecting critical infrastructure and key assets
- (5) Emergency preparedness and response
- (6) Other

**DOE Guidance:** Based on guidance from the Office of the CFO, only Program Offices included in the DOE Safeguards and Security crosscut budget may identify Homeland

Security goals support for their investments. Offices eligible to use these codes are: NNSA, EM, HSS, NE, SC, and IM.

**Development/Modernization/Enhancement (DME):** The program cost for new investments, changes or modifications to existing systems to improve capability or performance, changes mandated by the Congress or agency leadership, personnel costs for project (investment) management, and direct support. For major IT investments, this amount should equal the sum of amounts reported for planning and acquisition plus the associated FTE costs reported in the Exhibit 300.

**Steady State (SS):** The maintenance and operation costs at current capability and performance level including costs for government and contractor personnel, maintenance of existing information systems, corrective software maintenance and refresh, voice and data communications maintenance, and replacement of broken IT equipment. For major IT investments, this amount should equal the amount reported for maintenance plus the associated FTE costs reported in the Exhibit 300.

**Funding Source(s) and Amounts:** For all investments (**major and non-major investments**), provide the source of funding by identifying the OMB Account Code(s) associated with the investment amount(s) that should be attributed to each source. **For each reported year, the sum of all funding source(s) amounts for an investment must equal its total investment costs.**

**OMB Account Code Format:**

Agency Code	Bureau Code	Account Symbol	Suffix
019	XX	XXXX	00

DOE's Agency Code is 019, the Bureau Code is found in Appendix D, and the Account Symbol is equivalent to the 4-digit section of the Appropriations Code. For further assistance, see your Program Budget Officer.

**Investment C&A status:** The current Certification and Accreditation (C&A) status of the investment's system(s):

- (00) Systems within this investment have not been through the C&A process because the investment is not yet operational.
- (02) None of the systems have gone through the C&A process or have been granted full authority to operate (for operational investments),
- (22) Some or all of the systems within this investment have been through a C&A process, but no systems have been granted full authority to operate.
- (25) Some or all of the systems within this investment have been through a C&A process, some systems have been granted full authority to operate.
- (55) All of the systems within this investment have been through a C&A process and have been granted full authority to operate.

**Project Management Qualification Status:** The qualification status of the investment's project manager (PM), as issued in OMB PM Guidance (M-04-19). The following options are available:

- (1) The project manager assigned for this investment has been validated as qualified in accordance with OMB PM Guidance.

**DOE Guidance:** The individual has been reviewed against the definition above and found qualified by the Program

- (2) The project manager assigned for this investment is in the process of being validated as qualified in accordance with OMB PM Guidance.

**DOE Guidance:** The individual has submitted information to the Program about their qualifications, but the information has not yet been reviewed and/or assessed

- (3) The project manager assigned for this investment is not validated as qualified in accordance with OMB PM Guidance.

**DOE Guidance:** The individual has been reviewed against the definition above and found not qualified by the Program

- (4) The qualifications for the project manager named have not been evaluated.

**DOE Guidance:** The individual has not yet submitted information to the Program about his/her qualifications

- (5) No project manager is currently assigned for this investment.

**DOE Guidance:** This code might be used for a new or planned project where a PM has not yet been identified

- (6) N/A-This is not an IT project/investment.

**DOE Guidance:** This code might be used in the case where a fee-for-service was paid to another agency for the use of an E-Government solution, e.g., cost of GovTrip fees-for-service

**Project Manager's Name:** Designating the Project Manager's Name for each major and non-major investment, as required, will enable OCIO and senior management to be aware of current project managers and their associated investment(s).

**DOE Guidance:** The requirements for PMs of non-major investments as approved by the IT Council are as follows: For qualification as an Exhibit 53 Non-Major System Level IT PM the candidate must have: training that provides an understanding of PM and IT-PM competencies listed in the OPM 2210 Series IT Project Manager Guidance (pages 6,7); training that provides fundamental PM knowledge, skills and abilities that include an understanding of principles, practices and terminology; training that provides Primary IT PM skills; COR/COTR training; and one year of project management experience. Program Offices are required to track the status of the Exhibit 53 Project Manager and report it on the Exhibit 53 submission. For more information, please review the OCIO PM Qualification webpage at <http://cio.energy.gov/it-project-management/385.htm>

**Level of Investment:** Each major IT initiative reported to OMB must be assigned to one of three Project Management Levels designed to coincide with the project's scope and dollar threshold.

**DOE Guidance:** Additional guidance for each of the IT PM levels is described below.

**Exhibit 1: Project Levels and Corresponding Dollar Thresholds**

Level	Project Type	Dollar Threshold
Level 1	A division, bureau or agency project	Up to \$20 M
Level 2	A cross-cutting project or agency-wide system integration project across the Department	Up to \$100M
Level 3	Large, inter-governmental or government-wide complex, high risk IT project (e.g., e-Gov or President's Management Agenda initiative, mission critical function, or high interest project)	Greater than \$100M

Source: OMB, M-04-19

While the dollar threshold for identifying project levels (Level 1, 2, or 3) is based on lifecycle costs, it is permissible to apply a lifecycle window assumption based on the type of IT reported in the investment. As long as the business case documents what the lifecycle period assumption is, the OCIO will use that assumed lifecycle window in applying management control thresholds such as project level designation. This process ensures that long-lived steady state investments are not inaccurately identified at higher levels due to the duration of the investment.

Therefore if the business case states that for analysis purposes the investment lifecycle assumption is five years, the OCIO will compare a five-year investment total to the threshold criteria to determine the appropriate project level. The project should document their assumed lifecycle window either in the question related to Operational Analysis process and results, in the alternatives analysis section, or in the open response field immediately following the Summary of Spending table.

Major investment project managers, are expected to be certified at the Senior/Expert level under the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM), as well as the appropriate level under the IT PM framework. Further guidance on FAC-P/PM certification requirements is located in the "FAC-P/PM" folder of the eCPIC Resource Library at <https://ecpic.doe.gov/Modules/ResourceLibrary/PublicResourceLibrary.aspx>.

**Program Office:** Select a Program Office for each investment. If you do not see your Program Office please contact the eCPIC Helpdesk at (202) 586-5437 or via email at [ecpic@hq.doe.gov](mailto:ecpic@hq.doe.gov).

**DOE Location:** Select the DOE location where this investment's work is performed. If you do not see your location please contact the eCPIC Helpdesk at (202) 586-5437 or via email at [ecpic@hq.doe.gov](mailto:ecpic@hq.doe.gov).

**On High-Risk List:** For each investment, respond "yes" or "no" whether the investment is included on the agency's High Risk List.

**Segment Architecture:** For each investment, enter the six-digit segment code representing the agency segment architecture that the investment supports. A segment architecture represents an agency's primary business and/or capability area. The investment's primary FEA mapping acts as the principal determinant of alignment to an agency segment architecture.

**Report Parts:** The DOE Exhibit 53 report contains the following six parts:

Part 1. IT Investments by Mission Area Support.

Part 2. IT Investments for Infrastructure, Office Automation, and Telecommunications.

Part 3. IT Investments for Enterprise Architecture and Planning.

Part 4. Investments for Grants Management Systems.

Part 5. Grants to State and Local IT Investments.

Part 6. National Security Systems IT Investments

**Note:** DOE does not use Part 6.

Each investment reported must be classified into one of the six report parts. Definitions of each part are provided below.

**Part 1. Mission Area Support:**

Consistent with your agency's strategic and annual performance plan, this part reports the amounts for IT investments directly supporting an agency-designated mission area (e.g., human resource management, financial management, command and control). Report each mission area in which IT investments are funded, itemizing the "major" and "non-major" IT investments within each mission area.

Agencies must have a mission area title for "Financial Management", and it must be reported as the first mission area. Some IT investments support financial functions in addition to other functions. If an IT investment supports financial functions, you must include an estimated percentage of the total IT investment obligations associated with the financial components. See the financial system, budget formulation, and budget execution definitions provided in this document for reference. Systems predominately supporting financial functions should be included in the first mission area, "Financial Management". If the IT investment reported is 100 percent financial, indicate "100" percent in the column. For mixed systems or investments, indicate the appropriate percentage that is financial. The complete list of DOE Mission Areas is provided in Appendix C. The only mandatory mission area defined by OMB A-11 is Financial Management.

- **Financial Management Mission Area:** Assign each financial system to the first mission area, Financial Management. Definitions for financial systems and financial functions are provided in Appendix G.
  - Classify the Financial Management investment as major if it has an estimated cost of \$500,000 or more in one year; lower cost systems may be classified as non-major.
  - Include in each financial management investment short description **a count of the number of federal full time equivalents (FTEs) supporting the system.**

**Part 2. IT Investment for Infrastructure, Office Automation and Telecommunications:**

Report all IT investments supporting common user systems, communications, and computing infrastructure. These investments usually involve multiple mission areas and might include

general Local Area Network/Wide Area Network (LAN/WAN), desktop, data centers, cross-cutting issues such as shared IT security initiatives, and telecommunications. Report your IT security initiatives and investments not directly tied to a major investment on a separate line identified as “non-major”.

OMB has indicated that infrastructure investments should be reported in one of the three reporting categories defined below:

- **End User Systems and Support** – End user hardware (desktop, laptop, handheld devices), peripherals (local printers, shared printers), and software (PC operating systems, office automation suites, messaging and groupware), and hardware and software for help desks.
- **Mainframes and Servers Services and Support** – Mainframes and servers [including web hosting (but not Web content development and management)], hardware and software operations, licenses, maintenance, back-up, continuity of operations, and disaster recovery. Also includes electronic messaging and storage.
- **Telecommunications Systems and Support** – Data networks and telecommunications (including wireless, multimedia, and local and long distance telephony) hardware and software operations, licenses, maintenance, back-up, continuity of operations, and disaster recovery. Also includes network operations command centers and wire closets and cable management.

Section 5.0 (page 15) provides additional guidance on how to report consolidated infrastructure investments according to the categories defined by OMB.

**Part 3. IT Investment Enterprise Architecture and Planning:** Report amounts for IT investments supporting strategic management of IT operations (e.g., business process redesign efforts not part of an individual investment or initiative, enterprise architecture development, capital planning and investment control processes, procurement management, and IT policy development and implementation).

**Part 4. IT Investments Grants Management Systems:** Report amounts for IT investments representing planning, developing, enhancing or implementing a grants management system or portion thereof. Include any grants systems initiatives.

**Part 5. Grants to State and Local IT Investments:** Report amounts for IT investments representing planning, development, enhancements or implementation of “Grants to State and Local”. Agencies should only use this part to report “Grants to State and Local”. Before using Part 5 for anything other than the previously identified, please check with an OMB representative.

**Part 6. National Security Systems Investment:** Report amount for IT investments representing planning, development, enhancement or implementations of National Security Systems. Only DoD may use this part.

**DOE Guidance:** Part six does not apply to DOE.

## 4. Cost Estimation

### a. Identify Cost Types

Identify estimated costs associated with each investment for three years—PY 2009, CY 2010 and BY 2011. For each year, determine the cost break down between development and steady state costs as defined below:

- **Development/Modernization/Enhancement (D/M/E)** refers to the cost for new investments and changes or modifications to existing investments to improve capability or performance. Costs may include costs of mandated changes, costs of project management, personnel costs, and direct support costs.  
**Note:** Both **Planning** and **Full Acquisition** costs listed on the Summary of Spending table in the Exhibit 300 are considered part of D/M/E.
- **Steady State** refers to maintenance and operation costs at current capability and performance level, including costs for personnel, maintenance of existing investments, corrective software maintenance, voice and data communications maintenance, and equipment refresh.  
**Note:** **Maintenance** costs listed in the Summary of Spending table in the Exhibit 300 fall under the category of Steady State.

**For each reported year, the total planned costs of an investment must equal the sum of the development and steady state amounts.**

### b. Identify Funding Source(s) and Amounts

Identify the source of funding for IT investments by identifying OMB Account Code(s) associated with investment amount(s) that should be attributed to each source. For each reported year, the sum of all funding source(s) amounts for an investment must equal its total investment costs.

For investments supported by multiple organizations, the program leading the effort will provide a single Exhibit 53 investment entry in eCPIC. To avoid double counting, no other organization that contributes to a collaborative investment will generate an eCPIC record for their portion of the investment (except for Common Operating Environment and Consolidated Infrastructure investments). Each contributing program must ensure that its share of the total investment cost is reported to the lead program for inclusion in the Exhibit 53 report.

### c. Identify Security, Financial, Budget Formulation, and Budget Execution Percentages for the Budget Year

For each investment, identify to the nearest whole percent the estimated total cost for IT security for the budget year. All investments must include some percentage for IT security. Examples of IT security costs/activities include firewall, PKI initiatives, password security, cyber security reviews, and security training. Note that the percentage for IT security must also be reported for CY 2010, in addition to BY 2011.

**Note:** The CIO reminds Departmental elements that they must adhere to the principles for

incorporating and funding security as part of agency information technology investments. This is necessary to ensure that these investments preserve the integrity, reliability, availability, and confidentiality of important information while maintaining their information systems. The most effective way to protect information and systems is to incorporate security into the architecture of each. This approach ensures that security supports agency business operations and that plans to fund and manage security are built into life-cycle budgets for information systems. Hence, all Secretarial Officers will integrate cyber security into their capital planning process with cyber security costs reported for each information technology investment. Additional guidance can be found in OMB Memorandum M-00-07, dated February 28, 2000.

For each investment, identify to the nearest whole percent the estimated total cost for the budget year associated with financial management (exclusive of budget formulation, and budget execution), budget formulation, and budget execution, or enter zero for each one, if none. The OMB A-11 definition of financial systems is provided in Appendix G.

## 5. Infrastructure, Office Automation and Telecommunications Investments

Department-wide IT programs for office automation and telecommunications should be coordinated through an agency-wide process and reported in September as a single business case for the Department. This section of the guidance should be used by DOE program offices and laboratories when collecting and reporting their Exhibit 53 data under the Consolidated Infrastructure, Office Automation and Telecommunications (IOAT) investment portfolio.

### **a. Investments to Include in the Consolidated Infrastructure Portfolio**

OMB has provided a broad description of what types of investments and activities should be included within the consolidated business case. DOE previously took the guidance from OMB and developed six areas of technical consolidation. OMB has identified three categories for reporting consolidated infrastructure investments. Appendix E provides a crosswalk to illustrate how the three categories align with DOE's six service lines.

### **b. Investments to Exclude from the Consolidated Infrastructure Portfolio**

IOAT is not inclusive of ALL IT systems and network services. Consolidated IOAT does not include:

- SECRET infrastructure or data storage facilities.
- Research and Development
- Scientific research and advanced science research computing
- Mission critical development, testing, experimentation, modeling, or the like environments as they apply to program specific mission objectives. (e.g. ESNet is not included under IOAT)
- MAJOR HR or ERP implementations as described in OMB Guidance.



### c. Exhibit 53 Reporting Requirements

#### **Review Sub-Investments Submitted in BY 2010 Portfolio**

When preparing the non-major consolidated investment, each site/location should review the infrastructure sub-investments that were submitted in the BY 2010 portfolio. This information should be used to determine if new investments should be added or deleted from the list.

A new Exhibit 53 data collection form has been added for the BY 2011 budget submission process. The new form is named Exhibit 53 for consolidated business cases. When opening eCPIC, select "Exhibit 53 Consolidated BY 10 Consolidated". This form will aid the consolidation of IOAT Exhibit 300 business case data. Consolidated business case managers will be asked to supply responses to a few additional data fields beyond those required for completing the Exhibit 53 submission. Additional data fields include the Acquisitions/Contract Strategy table and the Security and Privacy questions from the OMB 300 business case.

#### **Classify and Name Sub-Investments by Organizational Code and Service Lines**

Investments should be categorized and classified by sponsoring organization and service line. The following naming convention should be used when entering investment information:

- The first part of the naming convention should identify the organizational code for the sub-investment.
- The second part of the naming convention should identify the service line associated with the sub-investment. If multiple sub-investments exist within the same organization and service line, then a descriptive suffix should be added. (Example: RL Telecommunications Networks Main LAN, RL Telecommunications Networks Testbed LAN)

Each OMB infrastructure category per site/location should be submitted as a separate non-major investment, resulting in, if applicable, a maximum of five non-major investments for each site/location under the PMO area of responsibility. If sites have multiple significant efforts within a single category, each effort should be identified as a non-major investment with a short description that explains the distinction among the efforts.

#### **Classify Sub-Investments by OMB Infrastructure Category**

OMB has identified three categories for reporting consolidated infrastructure investments. Appendix E provides a crosswalk to illustrate how the three new categories align with DOE's six service lines.

Each consolidated infrastructure investment should identify the OMB infrastructure category it is related to by selecting the two letter code provided below from the picklist in the OMB Infrastructure data field found on the first page of the Exhibit 53 for consolidated infrastructure investments form.

- End User Systems and Support = ES
- Mainframes and Servers Services and Support = MS
- Telecommunications Systems and Support = TS
- Cyber Security= CS
- Other = OT

For example, if a consolidated infrastructure investment is currently classified under the Office Automation service line, it should select “ES” from the picklist.

### Questions Related to Service Levels and Cost Performance

In order to prepare to meet future calls for information about DOE’s infrastructure from the OMB Infrastructure Optimization Initiative Line of Business (IOI LOB), the OCIO needs to gather data on current status of infrastructure performance measurements. Service levels and cost performance are under consideration as a basis for benchmarking infrastructure performance measurement agency-wide.

Therefore, each non-major consolidated infrastructure sub-investment must respond to or verify the current responses to the following questions:

- For service level management of the IT infrastructure service (within the service line), are Service Level Agreements in place? (Yes or No)
- Are costs associated with IT infrastructure service within this service line allocated based on usage? (Yes or No)

All Exhibit 53 data submitted by the program offices and laboratories will be aggregated by the IOAT Integrated Project Team (IPT) and reported under the Consolidated IOAT Exhibit 300 in the BY 2011 budget submission.

For those offices at headquarters that obtain Common Operating Environment services, only report **one non-major investment** for COE services at headquarters.

**Note:** The requirement is intended to ensure that all of these investments are integrated into an overall strategy that is consistent with the Department’s strategic direction and allows for the possible consolidation and integration across the enterprise. The requirement is not intended to imply that every individual investment included in the IOAT program is implemented centrally by the agency-level CIO organization.

## 6. Data Entry

The next part of the reporting process is data entry followed by data submission. This section describes the mechanisms for using eCPIC to capture the IT investment data and submitting it to the Office of the

CIO.

**a. Use eCPIC to Maintain And Report on IT Investment Data**

For BY 2011, all DOE organizations will enter all their IT reporting data, including both Exhibit 53 and Exhibit 300 business case data, into the Electronic Capital Planning and Investment Control (eCPIC) system. In addition to this document, the Office of the CIO will provide training, instruction manuals, and telephone help desk services for the use of eCPIC.

For information on how to access eCPIC, please contact the eCPIC help desk at (202) 586-5437. Prospective system users should attend eCPIC training prior to using the system.

**b. Enter Exhibit 53 data**

As a trained eCPIC user, update existing investment data records or create new investment records, following instructions provided in training and in the eCPIC User Guide for OMB Exhibit 53 Reporting.

**c. Prepare a “Capital Asset Plan And Business Case” (Exhibit 300) for Each Major Investment**

For each major IT investment, prepare an Exhibit 300 business case data that demonstrates a direct connection to the DOE strategic plan, adequate justification for selecting the chosen alternative, sound acquisition (program and procurement) planning, comprehensive risk mitigation and management planning, and realistic cost and schedule goals and measurable performance benefits. Submitters will use eCPIC to update existing business cases and/or enter new ones, following instructions provided in training and in the eCPIC User Guide for OMB Exhibit 300 reporting.

## 7. Data Submission Logistics

This section describes the logistics for how and when investment owners will submit their data to their lead programs and how and when lead programs will submit their portfolios to the Office of the CIO and the Chief Financial Officer.

By the due date provided in the table below, each organization CIO or senior IT manager who owns a portfolio of IT investments in eCPIC will be responsible for updating, reviewing and certifying via email to DOE CPIC mailbox at [DOE.CPICmailbox@hq.doe.gov](mailto:DOE.CPICmailbox@hq.doe.gov) that their organization’s submission is complete and ready for OCIO review. After undergoing OCIO review, submitters will be notified if the submission is satisfactory or if further modifications are necessary.

## BY 2011 IT Investment Reporting Due Dates

The proposed dates are subject to change, pending final guidance from the Office of the Chief Financial Officer and the Office of Management and Budget.

Due Date	Responsible Party	Action
29 May 2009	Headquarters, eCPIC Investment owners, and Portfolio owners	Preliminary <b>Program and Staff office eCPIC Portfolio submissions due</b> to the OCIO. A confirmation email to the DOE CPIC mailbox at DOE.CPICmailbox@hq.doe.gov is required. Include the name(s) of the submitted portfolio(s).
24 July 2009	Headquarters, eCPIC Investment owners, and Portfolio owners	<b>Program and Staff office eCPIC Portfolio revisions based on Exhibit 300 and Exhibit 53 PIPs and BY 2011 template changes due</b> to the OCIO. A confirmation email to the DOE CPIC mailbox at DOE.CPICmailbox@hq.doe.gov is required. Include the name(s) of the submitted portfolio(s).
7 August 2009	OCIO	<b>OCIO to submit draft BY 2011 Exhibit 53</b> to OMB for system testing and portfolio validation against new BY 2011 reporting requirements.
31 August 2009	Headquarters and eCPIC Portfolio Owners	<b>All Final submissions due</b> to the OCIO. A confirmation email to the DOE CPIC mailbox at DOE.CPICmailbox@hq.doe.gov is required.
31 August 2009	Headquarters, eCPIC Portfolio Owners, and eCPIC Investment Owners	<b>All users will be locked out</b> of the eCPIC application. All entries and updates to investments within eCPIC must be made by close of business.
7 September 2009	OCIO	<b>Final BY 2011 Exhibit 53 and Exhibit 300s submitted to OMB</b>

## Appendix A: DOE IT Investment Reporting Requirements Checklist

It may be helpful to use this checklist as a worksheet. Ensure that each investment you report for BY 2011 includes the following items:

Item	Complete
<b>UPI Code:</b> <b>Four-digit OMB Unique Project Identifier code number</b> <ul style="list-style-type: none"> <li>Codes for Major investments are provided by OCIO</li> <li>Codes for non-major investments are provided by Portfolio Owner</li> </ul>	
<b>OMB Bureau Indicator</b> (select one of six): <ul style="list-style-type: none"> <li>NNSA</li> <li>Environmental and Other Defense Activities</li> <li>Energy Programs</li> <li>Power Marketing Administration</li> <li>Departmental Administration</li> <li>Inter-Agency Projects</li> </ul>	
<b>Investment Type Indicator:</b> Major or Non-Major	
<b>Report Part Indicator</b> (select one of first four): <div style="display: flex; justify-content: space-between;"> <div>             1. IT Investments by Mission Area Support              2. IT Investment for Infrastructure, Office Automation and Telecommunications              3. IT Investment for Architecture &amp; Planning           </div> <div>             4. IT Investment for Grants Management Systems              5. Grants to State and Local IT Investments              6. National Security Systems Investments           </div> </div>	
<b>Investment Title:</b> Means a definitive title explaining the investment. If the investment title has changed, include the previous name in parentheses	
<b>Investment Description</b> <ul style="list-style-type: none"> <li>If investments contains a financial %, indicate actual # of federal FTEs</li> </ul>	
<b>Investment Long Description</b>	
<b>Investment Owner</b> (Point of Contact and Location)	
<b>Primary and Secondary FEA (BRM or SRM) Mapping – Line of Business or Service Type:</b> <ul style="list-style-type: none"> <li>These three digits identify the primary Line of Business or Service Type from the Federal Enterprise Architecture that this IT investment supports.</li> </ul>	
<b>Primary and Secondary FEA (BRM or SRM) Mapping – Sub-function or Service Component:</b> <ul style="list-style-type: none"> <li>These three digits identify the primary Sub-Function or Service Component from the Federal Enterprise Architecture that this IT investment supports.</li> </ul>	
<b>Summary of Spending:</b> <ul style="list-style-type: none"> <li>Development Modernization or Expansion Costs:</li> <li>Steady State Costs:</li> <li>Full Time Equivalents (FTE)</li> </ul>	
<b>Project Manager Name:</b> Project Level:	
<b>Estimated Percentage of investment Security costs in CY and BY</b>	
<b>Estimated Percentage of investment that is Financial</b>	
<b>Estimated Percentage of investment that is Budget Formulation</b>	
<b>Estimated Percentage of investment that is Budget Execution</b>	
<b>Estimated Percentage of investment that is Internet Protocol version 6 (IPv6)</b>	
<b>Homeland Security Presidential Directive-12 (HSPD-12) (\$M)</b>	
<b>Homeland Security Indicator:</b> Yes or No	
<b>Investment C&amp;A Status</b> (select one of five): (00) Systems within this investment have not been through the C&A process because the investment is not yet operational. (02) None of the systems have gone through the C&A process or have been granted full authority to	

operate (for operational investments) (22) Some or all of the systems within this investment have been through a C&A process, but no systems have been granted full authority to operate. (25) Some or all of the systems within this investment have been through a C&A process, some systems have been granted full authority to operate. (55) All of the systems within this investment have been through a C&A process and have been granted full authority to operate.				
<b>Project Management Qualification Status</b> (select one of six): (1)-The project manager assigned for this investment has been validated as qualified in accordance with OMB PM Guidance. (Validated PMs include "Validated with Exception.") (2)-The project manager assigned for this investment is in the process of being validated as qualified in accordance with OMB PM Guidance. (3)-The project manager assigned for this investment is not validated as qualified in accordance with OMB PM Guidance. (4)-The qualifications for the project manager named have not been evaluated. (5)-No project manager is currently assigned for this investment. (6)-N/A-This is not an IT project/ investment.				
<b>Segment Architecture:</b> Provide the six digit code corresponding to the segment architecture.				
<b>On High-Risk List:</b> (Yes or No)				
<b>Cost Data</b> for FY09, FY10 and FY11				
<ul style="list-style-type: none"> <li>Breakdown of Budgetary Resources (BR) by D/M/E (Planning and Full Acquisition \$) versus Steady State (Maintenance \$)</li> <li>Any incurred Outlays</li> <li>Complete additional years as desired</li> </ul>				
<b>Type</b>	<b>PY \$</b>	<b>CY \$</b>	<b>BY \$</b>	
Planning				
Acquisition				
Maintenance				
<b>Investment Funding Source(s)</b> by OMB Account Code, where:				
<ul style="list-style-type: none"> <li>Account Symbol is 4-digit value from Program Appropriation Code (see Program Budget Officer)</li> <li>Suffix is 00 for all DOE Accounts</li> <li>Expected amount per Funding Source</li> <li>Provide funding source for all investments (major and non-major)</li> </ul>				
<b>Agency Code</b>	<b>Bureau Code</b>	<b>Account Symbol</b>	<b>Suffix</b>	
019	XX	XXXX	00	
<b>Source Code</b>	<b>PY \$</b>	<b>CY \$</b>	<b>BY \$</b>	
<b>Complete Business Case</b> if the investment is classified as Major.				

## Appendix B: Current DOE Investment Prefixes for eCPIC Investment Names

Alphabetic Listing of Prefixes	
AMES	NA
ANL	NE
BJC	NREL
BNL	NETL
CBC	OH
CBFO	OH BWXT
CF	OE
CI	OR
CH	ORAU
CST	ORISE
ED	ORNL
EE	OSTI
EIA	PA
EM	PI
EM HQ	PNNL
FE	PPPL
FNAL	RFFO
GC	RF KH
GJO	RL
HG	RL HEHF
HQ	RL PHMC
HR	RL RCP
HSS	RL RPP
ID	RL WTP
IG	SC
IM	SEPA
INL	SLAC
JLAB	SPRO
LBL	SR
LM	SWPA
MA	WAPA

Note: If you find that a code is missing from the above prefixes list, please contact the eCPIC system administrator ([eCPIC@hq.doe.gov](mailto:eCPIC@hq.doe.gov) or 202-586-5437) so that it can be added.

## Appendix C: BY 2011 Mission Areas

<b>Mission Area</b>	<b>Unique Mission Area Code</b>
Civilian Radioactive Waste Management (RW)	20
Electronic Delivery and Energy Reliability (OE)	32
Energy Efficiency & Renewable Energy (EE)	12
Energy Information Administration (EI)	13
Environmental Management (EM)	15
Financial Management (See Appendix G for definition)	01
Fossil Energy (FE)	16
Health, Safety, and Security (HSS)	22
Inter-Agency Projects	99
Legacy Management (LM)	31
National Nuclear Security Administration (NA)	11
Nuclear Energy (NE)	18
Other Corporate Management Investments (This Mission Area encompasses all non-financial IT investments of IM, CF, HR, MA and other DOE Staff Offices)	17
Power Marketing Administrations (This Mission Areas encompasses all non-financial IT investments of the following PMAs: WAPA, SWPA, and SEPA)	23
Science (SC)	21



## Appendix D: OMB Bureau Indicators

The table below indicates the OMB Bureau that is normally associated with each organization. There may be exceptions in certain cases. If you believe that an exception is required for one of your investments, please send an email to the DOE CPIC mailbox, via e-mail at [DOE.CPICmailbox@hq.doe.gov](mailto:DOE.CPICmailbox@hq.doe.gov) to ensure the preferred bureau is selected.

Organization	Associated OMB Bureau	Bureau Code
NA	National Nuclear Security Administration	05
EM, RW, LM, HSS	Environmental and Other Defense Activities	10
EE, EIA, FE, NE, OE, SC	Energy Programs	20
SEPA, SWPA, WAPA	Power Marketing Administration	50
CN, GC, HG, IG, IM, CF, HR, MA, PA,	Departmental Administration	60
Any	Inter-Agency Projects	99

## Appendix E: Consolidated Infrastructure Service Line Definitions and Examples

OMB Infrastructure Categories	DOE Service Line	Definition	Example
Telecommunications Systems and Support	Telecommunications Networks	<p>All IT investments required to support network communications between Wide Area Networks (WAN), Metropolitan Area Networks (MAN), Campus Area Networks (CAN), and Local Area Networks (LAN).</p> <p>All IT investments required to provide networking services within a building, campus, data center or Center, including hardware, software, and services (including wireless LANs, remote access, Domain naming services, network management, X500/directory services).</p>	<ul style="list-style-type: none"> <li>• Commercial ISP (WANs)</li> <li>• Agency WAN</li> <li>• Converged Voice/video/data networks</li> <li>• Wide Area Networks</li> <li>• Metropolitan Area Networks</li> <li>• Campus Area Networks</li> <li>• Local Area Networks</li> <li>• Internet access services</li> <li>• Maintenance (COTs and SLAs)</li> <li>• NOCs / NMCs</li> </ul>
	Telephony Services	All elements that provide voice services to users including hardware, software, services and communications.	<ul style="list-style-type: none"> <li>• Telephones local and long distance services</li> <li>• 2-way radio</li> <li>• Cell Phones Services</li> <li>• Facsimile Services</li> <li>• FTS services</li> <li>• International services</li> <li>• Voice Teleconferencing</li> <li>• Calling cards</li> <li>• 800 # service</li> <li>• Voice over IP</li> <li>• PBXs</li> <li>• Voice mail</li> <li>• Public Address (PA)</li> <li>• Emergency Warning System</li> <li>• Satellite Phones</li> <li>• Unified messaging</li> <li>• Wireless support</li> </ul>

OMB Infrastructure Categories	DOE Service Line	Definition	Example
Mainframes and Servers Services and Support	Application & Data Hosting/Housing	<p>Application services provide an end service to end-users. Application services include the development, operations and maintenance of applications that are not desktop services. Includes IT investments in hardware (not a part of a datacenter), software and services required to provide application services remote from a desktop and not provided by a Data Center. This includes design, development, help and other support, operations and maintenance.</p> <p>A data center is a collection of IT hardware and software that is used for multiple purposes, and often related to, computing services. Furthermore, these resources are usually funded and operated as a shared resource with management dedicated to operating the center. Mass storage systems should be included as a data center unless the mass storage is integrated into some other IT facility. Includes:</p> <ul style="list-style-type: none"> <li>• Data storage (digital data storage services, including hardware, software and services)</li> <li>• Web services provided to citizens by the Agency (all costs: HW/SW, design maintenance and support)</li> <li>• Externally focused websites (not internally focused websites)</li> <li>• IT investments to support software engineering services</li> </ul>	<p>Includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Application hosting/housing</li> <li>• Application development</li> <li>• Database hosting/housing</li> <li>• Database development</li> <li>• Datacenters</li> <li>• e-Forms</li> <li>• Standard Agency-wide Administrative Systems</li> <li>• Web services internal to Agency or Bureau (to include GP applications with a web front-end)</li> <li>• General Purpose IT Support of Missions/Projects</li> <li>• IT Support for Centralized Services (data center, servers, mass storage, web services, e-mail, etc.)</li> <li>• Center Web Services</li> <li>• Public Web Portal</li> <li>• Data dictionary (XML and other) and directory services focused on facilitating web access to information</li> <li>• Integrated development Environments</li> <li>• Requirements Development and Management</li> <li>• Software Configuration Management</li> <li>• Software / System Test Modeling</li> </ul>
	Enterprise Collaboration Services	All investments required to support video and video distribution and video conferencing services used by the Agency or Bureau to include	<ul style="list-style-type: none"> <li>• Video Services</li> <li>• Administrator Video</li> <li>• VITS</li> <li>• Digital video production equipment/facilities</li> </ul>

OMB Infrastructure Categories	DOE Service Line	Definition	Example
		<p>hardware, software and support services - not including LAN or WAN.</p> <p>IT investments to provide email, instant messaging, and collaborative tools.</p>	<ul style="list-style-type: none"> <li>• Conference Room A/V support</li> <li>• Video distribution systems, Digital TV (DTV) Project and HDTV</li> <li>• All Email, Calendaring</li> <li>• Wireless PDA/Handheld (i.e.: Blackberry)</li> <li>• Pagers</li> <li>• Advanced Engineering Environment (AEE)</li> <li>• Electronic Work Environment Initiative</li> <li>• Video over IP</li> <li>• ISOWAN</li> <li>• Center E-mail</li> <li>• WebEx</li> <li>• E-Room</li> <li>• Secure video</li> <li>• Audio conferencing</li> </ul>
<b>End User Systems and Support</b>	<b>Office Automation</b>	<p>Desktop computing services to users to include all general purpose, desktop computing hardware and software (OS, applications and utilities) components and services (including design, build, operations, support, and maintenance services).</p> <p>Includes peripherals/printers and multipurpose help desks.</p> <p>Does not include email, calendaring client and servers, and desktops whose primary use is mission specific.</p>	<ul style="list-style-type: none"> <li>• Desktop computers</li> <li>• Laptop computers</li> <li>• Suites software</li> <li>• Graphics software</li> <li>• IT asset management</li> <li>• Network peripheral devices</li> <li>• Admin – Policy/Procedures</li> <li>• Software licensing</li> <li>• Help Desk</li> <li>• Operating systems</li> <li>• Software (e.g., word processing, spreadsheet, presentation, project management, browser, etc.)</li> </ul>
	<b>Cyber Security</b>	All IT investments to provide shared security services.	<ul style="list-style-type: none"> <li>• Certificates / Digital Signatures</li> <li>• Digital Certificate Authentication</li> <li>• SSL</li> <li>• Platform/Desktop Firewalls services</li> <li>• Platform/Desktop Antivirus Services</li> <li>• Scanning/Penetration Tests</li> <li>• Desktop Personal Firewall</li> <li>• Supporting Security Services</li> <li>• Firewalls specify policies about what traffic may or may not enter a particular computer network.</li> <li>• An IDS (Intrusion Detection</li> </ul>

OMB Infrastructure Categories	DOE Service Line	Definition	Example
			System) monitors patterns of traffic and signals an alert once it deems that an attack has taken place. An IDS can be network-based or host-based, passive or reactive, and can rely on either misuse detection or anomaly detection.

DRAFT

## Appendix F: Guidance for Reporting American Recovery and Reinvestment Act (ARRA) Funding and Activities

While it is required to report IT-related ARRA funding and activities in eCPIC, investment owners should confirm this information with the appropriate budget office representative prior to entering it into eCPIC as per the guidance below.

### Exhibit 300s

There are various sections in the Exhibit 300 that will require updating if an IT investment is receiving ARRA funding. The sections, as well as guidance for completing each question, are summarized below:

**Question I.A.8:** Summarize how funding will be used to achieve overall program and investment goals. Indicate what additional outcomes will be realized as a result of the additional stimulus funding for 2009 and 2010 (as applicable).

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Clearly indicate how the funding will be used to accomplish overall ARRA objectives:

- To preserve and create jobs and promote economic recovery
- To assist those most impacted by the recession
- To provide investments needed to increase economic efficiency by spurring technological advances in science and health
- To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits
- To stabilize state and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases

**Question I.B (Summary of Spending Table):** Indicate the total amount of funding that will be provided to the IT investment, including ARRA funding, in the Summary of Spending table.

Process: Exhibit 300 BY10 Section: I.B: Summary of Spending BY10 Subsection: (All)

	2002 and Prior	2003	2004	2005	2006	2007	PY 2008	CY 2009	BY 2010	BY + 1 2011	BY + 2 2012	BY + 3 2013	2014	2015	2016	2017
▼ Planning																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
▼ Acquisition																
Budgetary Resources	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0
▼ Subtotal Planning & Acquisition																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
▼ Operations & Maintenance																
Budgetary Resources	0	0	0	0	2	2	2									
▼ TOTAL																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
▼ Government FTE Costs																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Planning																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Acquisition																
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Maintenance																

**Question I.B (Funding Sources Table):** Identify the funding source code for the additional ARRA funding.

**Funding Sources BY10**

Funding Sources

- Toggle Excel Import -

\* Costs in Thousands

FS Name: MAX Code	Type	Row Type	2002 & Prior	PY - 5 2003	PY - 4 2004	PY - 3 2005	PY - 2 2006	PY - 1 2007	PY 2008	CY 2009	BY 2010	BY + 1 2011	BY + 2 2012	BY + 3 2013	BY + 4 2014	BY + 5 2015	BY + 6 2016	BY + 7 2017	2018 & Beyond	Total	
Defense Environmental Services: 019-10-0249-0		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	Edit
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	0	
On Ex.53: Yes		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Total Yearly Budgets		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Funding Source (Name:Code):

Include on Exhibit 53:

- Operation and Maintenance, APA: 019-50-0304-0
- SPR Petroleum Account: 019-20-0233-0
- Working Capital Fund: 019-60-4563-0
- ARRA Funding: xxx-xx-xxxx-x
- Advances for Cooperative Work: 019-20-8575-0
- CR Basins Power Marketing Fund, WAPA: 019-50-4452-0
- Cerro Grande Fire Activities: 019-05-0312-0
- Clean Coal Technology: 019-20-0235-0
- Defense Environ Restore & Waste Mgmt: 019-10-0242-0
- Defense Environmental Services: 019-10-0249-0
- Defense Nuclear Nonproliferation: 019-05-0309-0

Done

Trusted sites

**Funding Sources BY10**

Funding Sources

- Toggle Excel Import -

\* Costs in Thousands

FS Name: MAX Code	Type	Row Type	2002 & Prior	PY - 5 2003	PY - 4 2004	PY - 3 2005	PY - 2 2006	PY - 1 2007	PY 2008	CY 2009	BY 2010	BY + 1 2011	BY + 2 2012	BY + 3 2013	BY + 4 2014	BY + 5 2015	BY + 6 2016	BY + 7 2017	2018 & Beyond	Total	
Defense Environmental Services: 019-10-0249-0		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	Edit
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	22	
On Ex.53: Yes		Total	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	22	
ARRA Funding: xxx-xx-xxxx-x	Imported Funding Source	DME	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	10	Edit
		SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
On Ex.53: Yes		Total	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	10	
Total Yearly Budgets		DME	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	10	
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	22	
		Total	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	32	

Add Source

**Question I.D (Performance Information):** Identify the performance improvements that will occur directly as a result of the ARRA funding.

Browse Sections Process: Exhibit 300 BY10 Section: I.D: Performance Information BY10 Subsection: Performance Information BY1

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	GOAL 1.4 Energy Productivity - Improve the energy efficiency of the U.S. economy.	Mission and Business Results	Energy	Energy Conservation and Preparedness	# of low-income and family homes weatherized	75,000 homes	90,000 homes	TBD: 30,000 homes weatherized as of 3/15/09
2009	GOAL 1.4 Energy Productivity - Improve the energy efficiency of the U.S. economy.	Customer Results	Service Quality	Accurate Service Product Delivery				
2009	GOAL 1.4 Energy Productivity - Improve the energy efficiency of the U.S. economy.	Processes and Activities	Cycle Time and Timeliness	Cycle				
2009	GOAL 1.4 Energy Productivity - Improve the energy efficiency of the U.S. economy.	Technology	Reliability and Availability	Availability				
2009	ARRA GOAL 3 - To provide investments needed to increase economic efficiency by spurring technological advances in science and health.	Mission and Business Results	Energy	Energy Conservation and Preparedness	# of low-income and family homes weatherized	75,000 homes	Weatherize 20,000 additional homes above the 90,000 target for a total of 110,000 homes	TBD: 30,000 homes weatherized as of 3/15/09

Major investments are currently required to identify four performance metrics per year: Mission and Business Results; Customer Results; Processes and Activities; and Technology.

Enter additional metrics to show the performance outcomes directly related to the additional ARRA funding. For the strategic goal question, select the ARRA objective that is being supported by the performance improvement to illustrate the performance related to ARRA funding.

**Question II.C.4: Cost and Schedule Performance:** Report the cost and schedule milestones directly related to the ARRA funding.

Browse Sections

Process

Complete the following table to compare actual performance against the baseline section, for all milestones listed, you should provide both the baseline and current total costs (in \$ Millions). In the event that a milestone is not found in the baseline, the 'Baseline' and 'Percent Complete' fields are required. Indicate 0 for not applicable.

4. Comparison of Initial Baseline and Current Approved Baseline

View Accessible Table

MS Project Import

Baseline Import

Legend

Show All Rows

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	Steady-state maintenance of system	9/30/2008	\$2,000	9/30/2008	9/30/2008	\$2,000	\$2,000	0	\$	100
2	Steady-state maintenance of system	9/30/2009	\$2,000	9/30/2009		\$2,000				0
3	ARRA: Design/Develop System			5/29/2009		\$2,500				0
4	ARRA: Implement System to			6/30/2009		\$2,500				0
Project Totals		9/30/2009	\$4,000	9/30/2009	9/30/2008	\$9,000	\$2,000	365	-\$0.20	22.22

Update Values

Reset Values

Add Milestone

Duplicate Selected Milestone

For the ARRA funding, report cost and schedule milestones to indicate how the funding will be used. For all ARRA-related milestones, insert an "ARRA" prefix in front of the milestone description.

Ensure the total annual cost of the milestones equals the totals reported for the same years in the Summary of Spending table.

For the ARRA funding, report cost and schedule milestones to indicate how the funding will be used. For all ARRA-related milestones, insert an "ARRA" prefix in front of the milestone description.

Ensure the total annual cost of the milestones equals the totals reported for the same years in the Summary of Spending table.



## Exhibit 53s:

**(Funding Sources Table):** Identify the funding source code for the additional ARRA funding.

**Funding Sources BY10**

Funding Sources

- Toggle Excel Import -

\* Costs in Thousands

FS Name: MAX Code	Type	Row Type	2002 & Prior	PY - 5 2003	PY - 4 2004	PY - 3 2005	PY - 2 2006	PY - 1 2007	PY 2008	CY 2009	BY 2010	BY + 1 2011	BY + 2 2012	BY + 3 2013	BY + 4 2014	BY + 5 2015	BY + 6 2016	BY + 7 2017	2018 & Beyond	Total	Edit
Defense Environmental Services: 019-10-0249-0		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	0	
		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
On Ex.53: Yes																					
Total Yearly Budgets		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Select ARRA funding codes in eCPIC.

Funding Source (Name:Code):

Include on Exhibit 53:

- Operation and Maintenance, APA: 019-50-0304-0
- SPR Petroleum Account: 019-20-0233-0
- Working Capital Fund: 019-60-4563-0
- ARRA Funding: xxx-xx-xxxx-x**
- Advances for Cooperative Work: 019-20-8575-0
- CR Basins Power Marketing Fund, WAPA: 019-50-4452-0
- Cerro Grande Fire Activities: 019-05-0312-0
- Clean Coal Technology: 019-20-0235-0
- Defense Environ Restore & Waste Mgmt: 019-10-0242-0
- Defense Environmental Services: 019-10-0249-0
- Defense Nuclear Nonproliferation: 019-05-0309-0

**Funding Sources BY10**

Funding Sources

- Toggle Excel Import -

\* Costs in Thousands

FS Name: MAX Code	Type	Row Type	2002 & Prior	PY - 5 2003	PY - 4 2004	PY - 3 2005	PY - 2 2006	PY - 1 2007	PY 2008	CY 2009	BY 2010	BY + 1 2011	BY + 2 2012	BY + 3 2013	BY + 4 2014	BY + 5 2015	BY + 6 2016	BY + 7 2017	2018 & Beyond	Total	Edit
Defense Environmental Services: 019-10-0249-0		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	0	22
		Total	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	0	22
On Ex.53: Yes																					
ARRA Funding: xxx-xx-xxxx-x	Imported Funding Source	DME	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	0	10
		SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Total	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	0	10
On Ex.53: Yes																					
Total Yearly Budgets		DME	0	0	0	0	0	0	0	5	5	0	0	0	0	0	0	0	0	0	10
		SS	0	0	0	0	2	2	2	2	2	4	4	4	0	0	0	0	0	0	22
		Total	0	0	0	0	2	2	2	7	7	4	4	4	0	0	0	0	0	0	32

Ensure funding source totals match totals reported in Summary of Spending table.

Add Source

## Appendix G: Terms and Definitions: Excerpts From OMB Circular No. A-11, Part 1, Chapter III, Exhibit 53

**Budget Execution** represents activities associated with the legal and managerial uses of budgetary resources to achieve results that comply with the enacted budget and Administration policy. Budget execution activities include but are not limited to: apportionments, allotments, commitments, reprogramming actions, incurring obligations, and funds control. See sections 120 through 150 of Part 4 of OMB Circular No. A-11 for a comprehensive list of budget execution activities.

**Budget Formulation** represents activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time. This includes the collection and use of performance information to assess the effectiveness of programs and develop budget priorities.

**Business Reference Model (BRM)** is a function-driven framework used to describe the lines of business and sub-functions performed by the Federal Government independent of the agencies performing them. IT investments are mapped to the BRM to identify collaboration opportunities.

**Capital Planning and Investment Control (CPIC)** means the same as capital programming and is a decision-making process for ensuring IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. The term comes from the Clinger-Cohen Act of 1996 and generally is used in relationship to IT management issues.

**Certification and Accreditation (C&A)** is a comprehensive assessment of the management, operational, and technical security controls in an information system, made in support of security accreditation, to determine the extent to which the controls are implemented correctly, operating as intended, and producing the desired outcome with respect to meeting the security requirements of the system.

**E-business** (Electronic Business) means doing business online. E-business is often used as an umbrella term for having an interactive presence on the Web. A government E-business initiative or project includes web-services type technologies, component based architectures, and open systems architectures designed around the needs of the customer (citizens, business, governments, and internal federal operations).

**E-government** is the use by the government of web-based Internet applications and other information technologies, combined with processes that implement these technologies.

**Federal Enterprise Architecture (FEA)** is a business-based framework for government-wide improvement. It describes the relationship between business functions and the technologies and information supporting them. The FEA is being constructed through a collection of interrelated “reference models” designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across federal

agencies. Major IT investments should be aligned with each reference model within the FEA framework, except for the Data Reference Model. More information about the FEA reference models is available at [www.egov.gov](http://www.egov.gov). The BRM and Service Component Reference Model (SRM) are briefly described in this section (53.4).

**FEA Primary Mapping** is the identification of the primary function or service this IT investment supports. Investments should identify a primary mapping to either the BRM (Line of Business and associated Sub-function) *or* to the SRM (Service Type and associated Component). Only one primary FEA mapping should be provided for each investment. A BRM mapping should be used if the investment primarily supports a functional area. If the investment primarily provides a service crosscutting multiple functional areas, the SRM mapping should be provided. Guidance on the codes for the BRM and SRM primary mappings can be found at: [www.egov.gov](http://www.egov.gov).

**Note:** BRM lines of business and sub-functions in the Mode of Delivery business area are not valid as a FEA primary mapping.

**Financial Management** consists of activities that support the interrelationships and interdependencies between budget, cost and management functions, and the information associated with business transactions.

**Financial Operations** represent activities associated with processing, recording, and reporting of revenues, receipts, disbursements, expenditures, assets, liabilities, and other financial transactions; reconciliation of asset and liability accounts, such as accounts or loans receivable, with subsidiary records and with external data, such as Treasury cash records; and preparing financial statements.

**Financial Systems** are comprised of one or more applications that are used for any of the following:

- Collecting, processing, maintaining, transmitting, and reporting data about financial events;
- Accumulating and reporting cost information; or
- Supporting the preparation of financial statements.

A financial system supports the processes necessary to record the financial consequences of events that occur as a result of business activities. Such events include information related to the receipt of appropriations or resources; acquisition of goods or services; payment or collections; recognition of guarantees, benefits to be provided, or other potential liabilities or other reportable activities.

**Funding Source** is any budgetary resource used for funding the IT investment. For each funding source, identify the budgetary resources including the MAX funding codes used for an investment. Add as many funding source line items as appropriate for the investment. To avoid double counting or under counting, the totals of the funding amounts for an investment must match the main investment line item, represented with the investment category of “00” or “24”. Do not report funds received as part of intra-government payments to purchase IT investments or services, partner agencies should provide this as a part of the partner agency’s IT portfolio.

**Government Information** means information created, collected, processed, disseminated, or disposed of by or for the Federal government.

**High Risk Projects** require special attention from oversight authorities and the highest levels of agency management because: 1) the agency has not consistently demonstrated the ability to manage complex projects; 2) of the exceptionally high development, operating, or maintenance costs, either in absolute terms or as a percentage of the agency's total IT portfolio; 3) it is being undertaken to correct recognized deficiencies in the adequate performance of an essential mission program or function of the agency, a component of the agency, or another organization, or 4) delay or failure would introduce for the first time inadequate performance or failure of an essential mission program or function of the agency, a component of the agency, or another organization. If a High Risk Project is represented by an entire IT Investment, the IT Investment would be also known as a High Risk Investment.

**Information Resource Management (IRM) Strategic Plan** is strategic in nature and addresses all information resources management of the agency. Agencies must develop and maintain the agency's IRM strategic plan as required by [44 U.S.C. 3506\(b\)\(2\)](#). IRM strategic plans should support the agency's strategic plan required in OMB Circular A-11, provide a description of how information resources management activities help accomplish agency missions, and ensure IRM decisions are integrated with organizational planning, budget, procurement, financial management, human resources management, and program decisions.

**Information System** means a discrete set of information technology, data, and related resources, such as personnel, hardware, software, and associated information technology services organized for the collection, processing, maintenance, use, sharing, dissemination or disposition of information.

**Information Technology**, as defined by the Clinger-Cohen Act of 1996, sections 5002, 5141, and 5142, means any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For purposes of this definition, equipment is "used" by an agency whether the agency uses the equipment directly or it is used by a contractor under a contract with the agency that (1) requires the use of such equipment or (2) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. Information technology includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. It does not include any equipment acquired by a Federal contractor incidental to a Federal contract.

**IT Migration Investment** means the partner agency's migration costs associated with moving an existing investment, system, process or capability to a Government-wide common solution.

**Major IT Investments** means a system or investment acquisition requiring special management attention because it: has significant importance to the mission or function of the agency, a component of the agency or another organization; is for financial management and obligates

more than \$500,000 annually; has significant program or policy implications; has high executive visibility; has high development, operating, or maintenance costs; is funded through other than direct appropriations; or if defined as major by the agency's capital planning and investment control process. OMB may work with the agency to declare other investments as major investments. If you are unsure about what investments to consider as "major," consult your agency budget officer or OMB representative. Investments not considered "major" are "non-major."

**Managing Partner** represents the agency designated as the lead agency responsible for the implementation of the E-Gov or LoB initiative. The managing partner is also responsible for coordinating and submitting the exhibit 300 for the initiative and the exhibit 300 will be represented as part of the managing partner's budget portfolio.

**Mixed System** means an information system that supports both financial and non-financial functions of the Federal Government or components thereof.

**New IT Project** means an IT investment newly proposed by the agency and has not been previously funded by OMB. This does not include investments existing within the agency but have not previously been reported to OMB.

**Non-major IT Investment** means any initiative or investment not meeting the definition of major defined above but is part of the agency's IT Portfolio. All non-major investments must be reported individually on the exhibit 53.

**Non-Financial System** means a system that supports management functions of the Federal Government or components thereof and does not record financial events or report financial information.

**On-going IT investment** means an investment that has been through a complete budget cycle with OMB and represents budget decisions consistent with the President's Budget for the current year (BY-1).

**Partner Agency** represents the agency for an E-Gov or LoB initiative designated as an agency that should provide resources (e.g., funding, FTEs, in-kind) to the management, development, deployment, or maintenance of a common solution. The partner agency is also responsible for including the appropriate line items in its Exhibit 53 reflecting the amount of the contribution for each of the E-Gov or LoB initiatives to which it is providing resources.

**Partner Agency IT "fee-for-service"** represents the financial fees paid for by a partner agency for IT services provided.

**Privacy Impact Assessment (PIA)** is a process for examining the risks and ramifications of using information technology to collect, maintain and disseminate information in identifiable form from or about members of the public, and for identifying and evaluating protections and alternative processes to mitigate the impact to privacy of collecting such information. Consistent with September 26th, 2003, OMB guidance ([M-03-22](#)) implementing the privacy provisions of

the E-Government Act, agencies must conduct, and submit to OMB, any publicly available PIAs for all new or significantly altered information technology investments administering information in identifiable form collected from or about members of the public. Agencies choosing to conduct PIAs for IT investments administering information in identifiable form collected from or about agency employees need not submit them to OMB.

**Records** includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included.

**Segment Architecture** is a detailed results-oriented architecture (baseline and target) and a transition strategy for a portion or segment of the enterprise. Segments are individual elements of the enterprise describing core mission areas, and common or shared business services and enterprise services.

**Service Component Reference Model (SRM)** is a common framework and vocabulary used for characterizing the IT and business components collectively comprising an IT investment. The SRM helps agencies rapidly assemble IT solutions through the sharing and re-use of business and IT components. A component is a self-contained process, service, or IT capability with pre-determined functionality that may be exposed through a business or technology interface.

**System of Records Notice (SORN)** means a statement providing to the public notice of the existence and character of a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. The Privacy Act of 1974 requires this notice to be published in the Federal Register upon establishment or substantive revision of the system, and establishes what information about the system must be included.

**Validated E-Gov Standard** means a private, voluntary or U.S. government-developed standard developed and adopted via a widely recognized and broadly accepted process. The E-Gov standard validation process and validated standards can be located at the NIST E-Gov Standards Resource Center.



## Appendix H: References

OMB Circular A-11, Section 53—Information Technology and E-Government, found at [http://www.whitehouse.gov/omb/circulars/a11/current\\_year/s53.pdf](http://www.whitehouse.gov/omb/circulars/a11/current_year/s53.pdf)

OMB Circular A-11, Section 300—Planning, Budgeting, Acquisition, and Management of Capital Assets, found at [http://www.whitehouse.gov/omb/circulars/a11/current\\_year/s300.pdf](http://www.whitehouse.gov/omb/circulars/a11/current_year/s300.pdf)

The Clinger Cohen Act on Federal IT Management, found at <http://irm.cit.nih.gov/itmra/itmra96.html>

Department of Energy eCPIC User Guide for OMB Exhibit 53 and Exhibit 300 Reporting, found in the eCPIC Global Resource Library

FEA A-11 Guidance, found at <http://www.whitehouse.gov/omb/egov/a-1-fea.html>

Federal Chief Information Officers Council at <http://www.cio.gov/>

White House Website – [www.whitehouse.gov](http://www.whitehouse.gov)